

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Examiner Unkown

In Re:

Srihari Kumar et al.

Art Unit 2173

Case:

P3962

Serial No.:

09/826,613 04/04/2001

Filed: Subject:

Interactive Financial Portfolio Tracking Interface

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To:

The Commissioner of Patents and Trademarks

Washington, D.C. 20231

Technology Center 2100

Dear Sir,

Information Disclosure Statement Under 37 C.F.R. 1.97

Enclosed herewith is an Information Disclosure Statement (IDS) by Applicant listing three (3) references received from the PCT International Search Report (copy enclosed) in case PCT/US02/07605, mailed December 18, 2002. Applicant desires that the reference be entered in the above referenced case as relevance dictates.

As prosecution has not begun in this case, in accordance with rule 1.97(b)(3), no additional fee is required. Please charge any deficiency to Deposit Account No. 50-0534.

Respectfully submitted,

Srihari Kumar et al.

by

Donald R. Boys Reg. No. 35,074 JAN 1 6 2003

GROUP 3600

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PTG/SB/08A (10-01)

Approved for use through ,10/31/2002. OMB 0651-0031

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet of

Complet if Known				
Application Number	09/826,613			
Filing Date	04/04/2001			
First Named Inventor	Srihari Kumar			
Art Unit	2173			
Examiner Name	Unknown			
Attorney Docket Number	P3962			

				U.S. PAT	ENT DOCUMENTS		
Examiner Initials	Cite No.1	Document Number Number- Kind Code ² (if known		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		us- 580253	0 A	09-01-1998	Van Hoff	Whole Document	
		us- 607553	7 A	06-13-2000	Adapathya et al.	Whole Document	
		us- 579915	1 A	08-25-1998	Hoffer	Abstract	
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	FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. ¹	Foreign Patent Document Country Code 3 - Number 4 - Kind Code 5 (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	Т6	
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Examiner	Date	
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^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.



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Date of Deposit: <u>01/09/2003</u> Ref: Case Docket No.: <u>P3962</u>

First Named Inventor: Srihari Kumar

Serial Number: <u>09/826,613</u> Filing Date: <u>04/04/2001</u>

Title of Case: Interactive Financial Portfolio Tracking Interface

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I hereby certify that the attached papers are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and addressed to the Commissioner of Patents and Trademarks, Washington D.C. 20231

- 1. Information Disclosure Statement.
- 2. Cover Letter for Information Disclosure Statement.
- 3. Copies of three (3) publications cited in the IDS.
- 4. Copy of an international search report in case PCT/US02/07605.
- 5. Certificate of express mailing.
- 6. Postcard listing contents.

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Mark A. Boys

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